

## **Element Performance Inspection (EPI)**

### **3.1.4 Operational Control (OP)**

**Purpose of this Element (Air Carrier's responsibility):**

To exercise control and authority over initiating, conducting, or terminating flights.

**Objective (FAA responsibility):**

To determine if the Air Carrier adheres to its approved procedures and controls for the Operational Control process.

**Specific Instructions for this EPI:**

To accomplish this EPI the inspector should be familiar with the Air Carrier's Dispatch / Flight Release software and Dispatch / Flight Release procedures.

**Element 6.1.1** is an associated EPI that should be reviewed to determine that new captains are not paired with low-time first officers.

**Element 4.3.2** should also be reviewed, as it deals with qualifications and appropriate personnel being assigned to flights (i.e. late night call-outs).

**Task 3.** The manuals to review include planning and performance, weight and balance, flight operations, aircraft operating, cold weather operations, dispatch procedures, and operations specifications, etc.

**Task 4.** Appropriate personnel are dispatchers, flight followers, supervisors, and maintenance control, etc).

**Question 1.14.** References special handling requirements, which include HAZMAT, live animals, human organs, etc.

**Question 1.15.1.** References load manifests, which includes passenger list, cargo, bag count, load-planning documents, weight and balance computations, etc.

**Question 1.15.4.** References flight plans, which includes attachments such as weather, NOTAMS, de-icing, fueling slips, etc.

**Related EPIs:**

- 3.2.1 Dispatch / Flight Release (OP)
- 3.2.2 Flight / Load Manifest / Weight and Balance Control (OP)
- 3.2.3 MEL / CDL Procedures (OP)
- 7.1.4 Director of Operations (OP)

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*To meet this objective, the inspector will accomplish the following tasks (at the inspection locations where applicable):*

1. Review the FAA Guidance and Specific Regulatory Requirements (SRR) included in the supplemental information section of this EPI.
2. Review the associated SAI, with emphasis on the Controls Attribute section.
3. Review the Manuals and software, if applicable, related to the Operational Control process.
4. Discuss operational control with the appropriate personnel.
5. Observe and assess the results of the Operational Control process.
6. Review and assess appropriate records relating to Operational Control.

*To meet this objective, the inspector will answer the following questions:*

1. Were the following performance measures met:

<i>1.1 Flights are released in accordance with the Air Carrier's procedures.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.2 Reviewed or observed flights are operated in accordance with Operations Specifications over approved areas and routes.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.3 The Air Carrier has sufficient facilities for releasing and monitoring their flights.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.4 The Air Carrier can communicate with a flight at any point along the route.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.5 Pilots in Command (PIC) with less than 100 hours of PIC flight time (high minimum pilot) are properly tracked and assigned.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.6 Pilots, who have accrued less than 75 hours of flight time in category, class, or type, are not paired together.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.7 Special areas, routes and airports are identified.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.8 Flights are operated with appropriately trained and qualified crewmembers.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.9 Dispatchers are certificated and qualified in accordance with the Air Carrier's procedures.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:

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<i>1.10 Flight Followers are qualified in accordance with the Air Carrier's procedures.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
<i>1.11 Flights are advised of changes that may affect safety of flight in accordance with the Air Carrier's procedures.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.12 Dispatchers/Flight Followers are made aware of mechanical irregularities affecting the flights they are monitoring, in accordance with the Air Carrier's procedures.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.13 The Dispatcher/Flight Follower complies with the Air Carrier's emergency handling procedures.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.14 Dispatcher/Flight Follower complies with the Air Carrier's special handling requirements.</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.15 The following records are maintained in accordance with the Air Carrier's procedures:</i>		
<i>1.15.1 Load Manifest</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.15.2 Dispatch / Flight Release</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.15.3 Airworthiness Release</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.15.4 Flight Plan</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
<i>1.15.5 Communication Log</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
2. Were the Air Carrier's Operational Control procedures followed?	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
3. Were the Air Carrier's established controls for Operational Control followed?	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
4. <Deleted>		

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#### SUPPLEMENTAL INFORMATION

##### SRRs:

- 14 CFR 119.5 (g, i), “Certifications, authorizations, and prohibitions.”
- 14 CFR 119.7 (a), “Operations specifications.”
- 14 CFR 119.9 (a, b), “Use of business name.”
- 14 CFR 119.33 (a-c), “General requirements.”
- 14 CFR 119.47 (a, b), “Maintaining a principal base of operations, main operations base, and main maintenance base; Change of address.”
- 14 CFR 119.49 (b), “Contents of operations specifications.”
- 14 CFR 119.53 (a-c, e, f), “Wet leasing of aircraft and other arrangements for transportation by air.” [Particularly 119.53(c)]
- 14 CFR 119.63 (a, b), “Recency of operation.”
- 14 CFR 121.351 (b, c), “Radio and navigation equipment for extended overwater operations and for certain other operations.”
- 14 CFR 121.99 (a, b), “Communications facilities.”
- 14 CFR 121.395, “Aircraft dispatcher: Domestic and flag operations.”
- 14 CFR 121.443, “Pilot in command qualification: Route and airports.”
- 14 CFR 121.445, “Pilot in command airport qualification: Special areas and airports.”
- 14 CFR 121.463 (a-d), “Aircraft dispatcher qualifications.”
- 14 CFR 121.465 (a-c), “Aircraft dispatcher duty time limitations: Domestic and flag operations.”
- 14 CFR 121.533 (a-e), “Responsibility for operational control: Domestic operations.”
- 14 CFR 121.535 (a-f), “Responsibility for operational control: Flag operations.”
- 14 CFR 121.537 (a-f), “Responsibility for operational control: Supplemental operations.”
- 14 CFR 121.539, “Operations notices.”
- 14 CFR 121.541, “Operations schedules: Domestic and flag operations.”
- 14 CFR 121.551, “Restriction or suspension of operation: Domestic and flag operations.”
- 14 CFR 121.553, “Restriction or suspension of operation: Supplemental operations.”
- 14 CFR 121.555 (a, b), “Compliance with approved routes and limitations: Domestic and flag operations.”
- 14 CFR 121.557 (b, c), “Emergencies: Domestic and flag operations.”
- 14 CFR 121.559 (b, c), “Emergencies: Supplemental operations.”
- 14 CFR 121.561 (a, b), “Reporting potentially hazardous meteorological conditions and irregularities of ground and navigation facilities.”
- 14 CFR 121.569 (a, b), “Equipment interchange: Domestic and flag operations.”
- 14 CFR 121.599 (a, b), “Familiarity with weather conditions.”
- 14 CFR 121.601 (a-c), “Aircraft dispatcher information to pilot in command: Domestic and flag operations.”
- 14 CFR 121.603 (a, b), “Facilities and services: Supplemental operations.”
- 14 CFR 121.605, “Airplane equipment.”
- 14 CFR 121.607 (a), “Communication and navigation facilities: Domestic and flag operations.”
- 14 CFR 121.609, “Communication and navigation facilities: Supplemental operations.”
- 14 CFR 121.627 (a), “Continuing flight in unsafe conditions.”
- 14 CFR 121.631 (b-d), “Original dispatch or flight release, redispach or amendment of dispatch or

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flight release.”

- 14 CFR 121.652, “Landing weather minimums: IFR: All certificate holders.”
- 14 CFR 121.655, “Applicability of reported weather minimums.”
- 14 CFR 121.657 (a-d), “Flight altitude rules.”
- 14 CFR 121.667 (a), “Flight plan: VFR and IFR: Supplemental operations.”
- 14 CFR 121.683 (a, b), “Crewmember and dispatcher record.”
- 14 CFR 121.711, “Communication records: Domestic and flag operations.”
- SFAR80, “Alternative Communications and Dispatching Procedures” (This applies to domestic operations conducted in Alaska. See SFAR80.1 b.).

#### Other CFRs and FAA Guidance:

- 14 CFR 65.51, “Certificate required.” (*Dispatchers*)
- FAA Order 8400.10, Vol. 3, Chap. 1, Sect. 3, Par. 77, “Operations Specifications, Paragraph A8 – Operational Control.”
- FAA Order 8400.10, Vol. 3, Chap. 1, Sect. 3, Par. 105, “Operations Specifications, Paragraph A28 – Aircraft Wet Lease Arrangements.”
- FAA Order 8400.10, Vol. 3, Chap. 1, Sect. 3, Par. 107, “Operations Specifications, Paragraph A29 – Aircraft Interchange Arrangements.”
- FAA Order 8400.10, Vol. 3, Chap. 5, Sect. 5, “Aircraft Dispatcher Qualification Curriculum Segments and Recurrent and Requalification Curriculums.”
- FAA Order 8400.10, Vol. 3, Chap. 6, Sect. 1, “Operational Control, General Topics.”
- FAA Order 8400.10, Vol. 3, Chap. 6, Sect. 1, Par. 1153, “Weather Information for Control of Flight Operations.”
- FAA Order 8400.10, Vol. 3, Chap. 6, Sect. 2, “Flight Dispatch Systems and domestic Operating Rules.”
- FAA Order 8400.10, Vol. 3, Chap. 6, Sect. 3, “FAR Part 121 Flight Release Systems and Supplemental Operating Rules.”
- FAA Order 8400.10, Vol. 3, Chap. 6, Sect. 3, Par. 1203, “Operational Control, Part 121 Flight Release Systems and Supplemental Operating Rules.”
- FAA Order 8400.10, Vol. 3, Chap. 6, Sect. 4, “FAR Part 121, Flag Operations, Supplemental Operations Outside the Contiguous States, and Extended Overwater Operations.”
- FAA Order 8400.10, Vol. 3, Chap. 8, Sect. 1, Par. 1479, “Air Carrier Management Effectiveness, Emphasis Areas.”
- FAA Order 8400.10, Vol. 3, Chap. 8, Sect. 1, Par. 1489, “Air Carrier Management Effectiveness, Operational Control.”
- FAA Order 8400.10, Vol. 3, Chap. 11, Sect. 3, Par. 1811, “Currency Periods for record keeping Systems.”
- FAA Order 8400.10, Vol. 3, Chap. 13, Sect. 1, Par. 1883, “Lease and Interchange Agreements, Background and Definitions.”
- FAA Order 8400.10, Vol. 3, Chap. 13, Sect. 2, Par. 1889, “Lease and Interchange Agreements, Dry Lease Agreements.”
- FAA Order 8400.10, Vol. 3, Chap. 13, Sect. 3, Par. 1895, “Lease and Interchange Agreements, Let Lease Agreements.”

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- FAA Order 8400.10, Vol. 3, Chap. 13, Sect. 3, Par. 1897, “Lease and Interchange Agreements, Processing Wet Lease Agreements.”
- FAA Order 8400.10, Vol. 3, Chap. 13, Sect. 3, Par. 1899, “Lease and Interchange Agreements, Determination of Operational Control.”
- FAA Order 8400.10, Vol. 3, Chap. 13, Sect. 3, Par. 1901, “Lease and Interchange Agreements, Amending Operations Specifications.”
- FAA Order 8400.10, Vol. 3, Chap. 13, Sect. 4, Par. 1907, “Lease and Interchange Agreements, Interchange Agreements.”
- FAA Order 8400.10, Vol. 3, Chap. 13, Sect. 4, Par. 1909, “Lease and Interchange Agreements, Approval Procedures.”
- FAA Order 8400.10, Vol. 3, Chap. 13, Sect. 4, Par. 1911, “Lease and Interchange Agreements, Amending Operations Specifications.”
- FAA Order 8400.10, Vol. 4, Chap. 1, Sect. 6, Par. 289, “Air Navigation and Communications, General Communication Concepts, Policies, and Guidance.”
- FAA Order 8400.10, Vol. 4, Chap. 2, Sect. 4, Par. 541, “Basic Air Carrier Operation Minimums.”
- FAA Order 8400.10, Vol. 6, Chap. 2, Sect. 18, Fig. 6.2.18.1, “Operational Control Inspections, “Dispatch Job Aid.”
- FAA Order 8400.10, Vol. 6, Chap. 2, Sect. 19, Paragraph 473, “Station Facilities Inspections, Specific Inspection Practices and Procedures.”
- HBAAT 99-01, “Outsourced Flightcrew Training: Audit by Operators and Use of OpSpecs Paragraph A031.”
- FAA Order 8400.10, App. 4, Attachment G, “Training/Testing & Operating Experience.”
- Operations Specifications for the specific Air Carrier.
- Refer to Advisory Circulars using a search engine (such as ATP Navigator or Summit).